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		Application Number	10/617,162
		Filing Date	July 10, 2003
		First Named Inventor	Adrian Richard Brown
		Art Unit	1773
		Examiner Name	
Total Number of Pages in This Submission		Attorney Docket Number	1926-00092

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Firm or Individual name	Thomas M. Wozny, Reg. No. 28,922 Andrus, Sceales, Starke & Sawall, LLP
Signature	
Date	October 20, 2003

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PATENT

IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

Appln. No. : 10/617,162  
Applicant : Adrian Richard Brown  
Filed : July 10, 2003  
Title : Valve Lock Mechanism  
TC/A.U. : 1773  
Examiner :  
Docket No. : 1926-00092

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Sir:

Attached is a certified copy of Great Britain Patent Application 0216199.0 recited in the Declaration of this application.

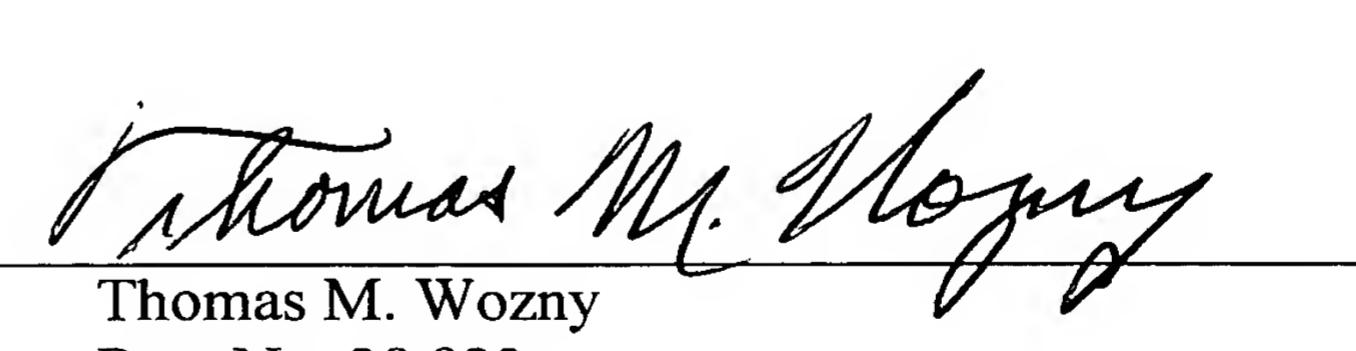
The claim for priority under 35 U.S.C. §119 made in the Declaration is reiterated.

Acknowledgement of the receipt of this certified copy and of Applicant's claim for priority is respectfully requested.

Respectfully submitted,

ANDRUS, SCEALES, STARKE & SAWALL, LLP

By



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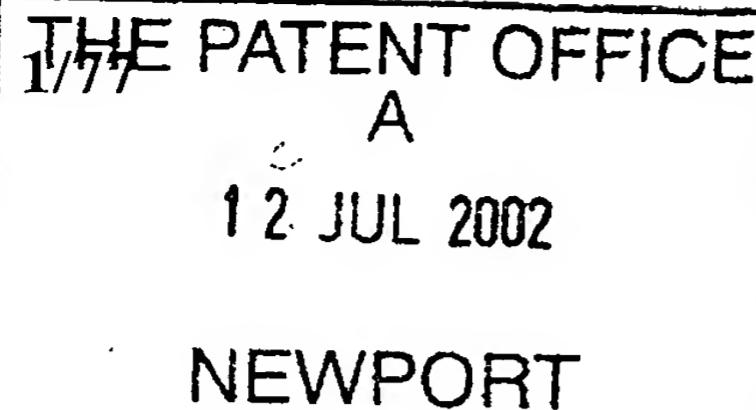
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*He Beher*

Dated 15 July 2003





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12 JUL 2002

1. Your reference

6/LC/12796

2. Patent application number

(The Patent Office will fill in this part)

0216199.0

3. Full name, address and postcode of the or of each applicant (*underline all surnames*)

Smith Flow Control Limited,  
6 Waterside Business Park,  
Eastways Industrial Estate,  
Witham,  
Essex CM8 3YQ

Patents ADP number (*if you know it*)

6982854001

If the applicant is a corporate body, give the country/state of its incorporation

United Kingdom

4. Title of the invention

VALVE LOCK MECHANISM

5. Name of your agent (*if you have one*)

Sanderson & Co.

“Address for service” in the United Kingdom to which all correspondence should be sent (*including postcode*)

34 East Stockwell Street  
Colchester  
Essex  
CO1 1st

Patents ADP number (*if you know it*)

1446001



6. If you are declaring priority from one or more earlier patent applications, give the country and the date of filing of the or of each of these earlier applications and (*if you know it*) the or each application number

Country

Priority application number  
(*if you know it*)

Date of filing  
(day / month / year)

7. If this application is divided or otherwise derived from an earlier UK application, give the number and the filing date of the earlier application

Number of earlier application

Date of filing  
(day / month / year)

8. Is a statement of inventorship and of right to grant of a patent required in support of this request? (*Answer ‘Yes’ if:*

Yes

- a) any applicant named in part 3 is not an inventor, or
- b) there is an inventor who is not named as an applicant, or
- c) any named applicant is a corporate body.

*See note (d))*

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Continuation sheets of this form

Description	10
Claim(s)	3
Abstract	-
Drawing(s)	6 + 6

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Priority documents

Translations of priority documents

Statement of inventorship and right to grant of a patent (Patents Form 7/77)

Request for preliminary examination and search (Patents Form 9/77)

1

Request for substantive examination (Patents Form 10/77)

Any other documents  
(Please specify)

11.

Sanderson & Co.  
Agents for the applicant

I/We request the grant of a patent on the basis of this application.

Signature

Date

11th July 2002

12. Name and daytime telephone number of person to contact in the United Kingdom

F.C. Gillam – 01206 571187

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# DUPLICATE

- 1 -

## VALVE LOCK MECHANISM

This invention relates to a lock mechanism for a valve having a valve body and a rotatable valve operating member projecting from the valve body. In particular, though not exclusively, this invention concerns a lock mechanism 5 for an industrial fluid flow control valve, as used for example in chemical manufacturing plants, oil refineries and pipelines, where the valve must be secured against operation other than by a person specifically authorised to do so.

Industrial fluid flow control valves typically for installation in a pipe of at 10 least 50mm diameter, are used to control the flow of fluids along the pipe and there can be serious consequences if a valve is operated at an inappropriate time, having regard to the overall plant or pipeline. As such, there have been numerous proposals for locking a valve against unauthorised operation, ranging 15 from the use of a simple padlock and chain, passed through the hand-wheel of the valve, to more sophisticated purpose-designed lock mechanisms adapted to be fitted directly to the valve. With the latter form of mechanisms, it is important that there is no significant alteration to the valve body to accommodate the fitting of the lock mechanism, else the manufacturer's warranty on the valve may be voided.

20 A recognised problem with many of the known designs of lock mechanism adapted to be fitted to an industrial fluid flow control valve without significant modification to the original valve is that the mechanisms often provide only relatively low security against unauthorised operation. Thus, 25 though the mechanism may serve as a deterrent, nevertheless it is incapable of withstanding a determined attempt to bypass the mechanism. Further, as many of these mechanisms are capable of being removed from a valve for

example for servicing, it is often relatively easy for a determined person to remove the mechanism by releasing some kind of attachment device, so then permitting unauthorised operation of the valve.

It is a principal aim of the present invention to provide a high security 5 lock mechanism for a valve such as an industrial pipeline valve, which mechanism is able to withstand an attempt to perform unauthorised operation of the valve and also an attempt to remove the mechanism from the valve, thereby permitting operation of the valve. Thus, an aim of the invention is to ensure that once fitted, it is extremely difficult to remove the mechanism short 10 of actually destroying the mechanism for example by cutting at least part of it away, using special equipment.

Accordingly, this invention provides a lock mechanism for a valve having a valve body and a rotatable valve operating member projecting from the valve body, which mechanism comprises:

15           – a driving member adapted for attachment to the operating member for rotation therewith and formed with an arcuate outwardly-directed groove of part-circular cross-section, centred on the axis of the driving member;

              – a turning member mounted coaxially on the driving member and formed with an arcuate inwardly-directed groove of part-circular cross-section 20 which groove is axially aligned with and opposed to the groove of the driving member;

              – a plurality of balls each located partly in the two opposed grooves thereby to permit relative rotation between the driving member and the turning member while preventing relative axial movement; and

25           – a key mechanism secured to the turning member and having a detent selectively engageable by use of a key with the driving member to prevent

relative rotation between the driving member and the turning member, the key mechanism including a portion in axial alignment with the opposed grooves which portion serves to retain the balls in the opposed grooves.

With the lock mechanism of this invention, the turning member may be  
5 formed as an integral unit which wholly surrounds the driving member and at least part of the valve body, such as the valve bonnet or top-works from which the valve operating member projects. The driving member is secured to the operating member of the valve, which operating member might be a rotatable nut, in the case of a rising stem valve. The turning member is locked to the  
10 driving member by virtue of the plurality of balls each located partly in the groove of the driving member and partly in the groove of the turning member, the balls allowing rotation of the turning member with respect to the driving member. The balls are retained in the grooves by a key mechanism, which may be robustly-constructed to resist unauthorised removal. The key  
15 mechanism may be semi-permanently or even permanently secured to the turning member whereby it becomes extremely difficult, if at all possible, to remove the key mechanism. The only way to release the turning member is by removal of the key mechanism, so releasing the balls, but high security fasteners may be employed to hold the key mechanism to the turning member .

20 Most preferably, the groove in the driving member is continuous and is encircled by the turning member. Said portion of the key mechanism could simply blank off the two ends of the groove in the turning member so retaining the balls in the arcuate groove in the turning member but also engaged in the corresponding opposed part of the groove in the driving member, irrespective of  
25 the angular position of the turning member with respect to the driving member. In the alternative, the key mechanism itself could define an arcuate groove and

which is opposed to the groove in the driving member when the key mechanism is secured to the turning member, the length and form of that arcuate groove in effect completing the circle of the arcuate groove in the turning member. In this way, the turning member together with the key mechanism define a continuous 5 groove opposed to the continuous groove in the driving member.

The turning member may be of simple cylindrical form but with an aperture therein and into which is fitted the key mechanism. High security fasteners such as high tensile shear-headed bolts may be employed to secure the key mechanism to the turning member which bolts are recessed in 10 counterbores formed in the turning member. Further, when sheared, such bolts may present a generally dome-shaped profile, which is highly resistant to attack for example by a pipe or tube forced thereover, or by drilling. Other forms of security fastener could be employed.

The key mechanism may include a cam rotatable by insertion or removal 15 of a suitable key from the key mechanism, which cam when rotated by the insertion of a key turns to engage in a recess in the driving member. Thus, with a key present, drive may be imparted from the turning member to the driving member. Conversely, removal of the key turns the cam so as to be disengaged from the recess, whereafter the turning member may rotate freely 20 about the driving member. The locked setting, with the key absent, allows the turning member to free-wheel about the driving member, so making it impossible to turn the driving member.

In order to ensure the free movement of the turning member about the driving member by maintaining the members co-axial, a further journal may be 25 provided between the driving member and the turning member, at an axial position spaced from the opposed grooves. Such a journal may be formed by a

low friction ring, for example of phosphor-bronze, interposed between the driving member and the turning member and secured to one of those members. Conveniently, such a ring is secured to the end of the turning member furthest (in use) from the valve, which ring has a bore which is a running fit on the 5 driving member.

In a preferred embodiment, the turning member is furnished with a skirt which depends downwardly towards the valve to which the lock mechanism is to be fitted, so as to enclose the valve top-works. Such a skirt may be cut to an appropriate length before installation of the lock mechanism, to minimise 10 access to the top-works and also to the underside of the driving member.

By way of example only, one specific embodiment of this invention will now be described in detail, reference being made to the accompanying drawings in which:-

Figure 1 is a isometric view of the embodiment of lock mechanism for 15 fitting to an industrial fluid flow control valve, with the hand-wheel partly cut away for clarity;

Figure 2 is a view similar to that of Figure 1, but with the turning member top plate partly cut away and also with the key mechanism separated from the turning member;

20 Figure 3 is a vertical section through the lock mechanism, as fitted to the operating member of a valve;

Figure 4 is a view on an enlarged scale of part of the mechanism shown in Figure 3; and

25 Figures 5 and 6 are plan views, partly in section but taken at different section lines as shown at V-V and VI-VI marked on Figure 3.

In Figures 3 to 5, the lock mechanism 10 is shown attached to a nut 11 of a rising stem valve, the top-works of which are shown diagrammatically at 12. Rotation of the nut 11 raises and lowers the valve stem 13, so opening and closing the valve, as appropriate. The only connection to the valve is through 5 the nut 11, no alteration having been made to the valve other than the removal of the original hand-wheel, from the nut.

The lock mechanism includes a driving member 14 having an inner profile adapted to the shape of the nut 11 – and in the illustrated embodiment, the nut 11 has an hexagonal outer profile. Normally, a secondary nut 15 is 10 used to clamp a hand-wheel to the nut 11, but here the driving member 14 is instead held to the nut 11 by the secondary nut 15. The driving member 14 is essentially cylindrical and is formed at its lower end with a flange 16 in the periphery of which is formed a groove 17 of part-circular cross-sectional shape and directed radially outwardly. In the cylindrical wall 18 of the driving member 15, 14, above the flange 16, there are formed three recesses 19, for a purpose to be described below.

A turning member 21 is rotatably mounted on the driving member 14. The turning member includes a hand-wheel 22 having spokes 23 secured by security bolts 24 to the cylindrical side wall 31 of the turning member as well as 20 to a key mechanism 32, to be described below. As best seen in Figure 3, each security bolt 24 has a conventional hexagonal head 25 connected to the main body 26 of the bolt by means of a stem 27; when the bolt has been tightened by a spanner engaged with the head 25 to a pre-set torque, the stem 27 shears off, so leaving the body 26 tightened down. The body cannot subsequently be 25 released since there is no surface on to which a tool can be engaged.

As best seen in Figures 1 and 2, a window is formed through the cylindrical side wall 31 of the turning member, and a part-circular internal flange 29 (Figure 3) extends internally around the side wall, other than where the window is formed. A groove 30 is formed in the inwardly-directed cylindrical 5 surface of the flange 29, the groove 30 being of part-circular cross-sectional shape and being opposed to the groove 17 in the driving member 14. A key mechanism 32 is fitted into the window in the side wall, the mechanism being received between side plates 33 permanently secured to the wall 31 and being held in position by further security bolts 34, passing through the side plates 33 10 and engaged with threaded bores in the key mechanism 32. The bolts 34 are similar to the bolts 24 described above and so, when the key mechanism has been fitted in position and the bolts have fully been tightened, the heads shear off so preventing subsequent removal of those bolts.

The key mechanism 32 has a foot 35 which is aligned with the flange 29 15 of the turning member, the inwardly-directed surface of the foot 35 being of arcuate form and centred on the axis of the turning member. A further groove 36 also of part-circular form is provided in the inwardly-directed surface of the foot 35 such that the further groove 36 is aligned with and serves as a continuation of the groove 30 of the turning member. In this way, once the key 20 mechanism 32 has been fitted to the turning member, a continuous circular groove surrounds the groove 17 in the driving member 14. A plurality of balls 37 are located in the aligned grooves 17 and 30,36, which balls are held by a cage 38 extending around each ball and having a common base member received in the space between the flange 16 of the driving member and the 25 flange 29 of the turning member or the foot 35 of the key mechanism, as appropriate, as shown in Figure 4. In this way, the turning member is rotatably

mounted on the driving member but is held against axial movement with respect thereto.

The upper end of the turning member 21 is provided with a cover plate 40, for example internally welded in position during manufacture of the turning member. The cover plate 40 supports a phosphor-bronze bearing ring 41 on its underside, the ring being secured in position by means of bolts 42 threaded into the cover plate. The bearing ring 41 receives the upper end of the driving member 14 whereby the turning member 21 is held coaxial with the driving member and with the axis of the valve stem 13, for free rotation about the driving member 14.

Secured to the lower part of the turning member 21 is a skirt 43, suitably profiled to be a close fit around the top-works 12 of the valve with which the lock mechanism is to be used. The skirt 43 is held in place by hammer-drive pins 44, pressed into aligned bores spaced around the turning member 21. Before the mechanism is fitted to a valve, a skirt of an appropriate diameter is selected and cut to a suitable length for the valve top-works, and then is secured to the turning member by the pins 44. Once fully driven home, the pins 44 cannot be removed so preventing removal of the skirt 43.

The key mechanism 32 is provided with a receptor 46 for a plate key 47 (Figure 5) of a known design, which is slid linearly into the receptor to unlock the mechanism. Removal of the key locks the mechanism by disengaging the drive between the turning member 21 and the driving member 14, so that the turning member may rotate freely about the driving member, thus preventing operation of the valve.

Provided within the key mechanism is a release pawl 49 which is pivoted as the key 47 is inserted into the receptor 46, to free for rotation a cam 50.

Further insertion of the key engages teeth (not shown) on the key with corresponding teeth on the cam, so rotating the cam and bringing a lobe on the cam into or out of engagement (depending upon the sense of movement of the key) with a recess 19 in the cylindrical wall 18 of the driving member 14.

5        The arrangement described above allows the lock mechanism to be operated at virtually any required angular setting of the valve, including its two extremes of movement. Interengagement of the cam 50 is possible with the recesses 19 in the driving member 14 other than when the material of the driving member between adjacent recesses 19 is aligned with the cam 50. The 10 recesses 19 have an angular extent significantly greater than the size of the cam and also are rounded at their ends, in order to facilitate engagement of the cam 50 with a recess 19, though this will give a small amount of lost motion between the turning member and the driving member when the mechanism has been unlocked, to connect the turning member to the driving member.

15       To fit the lock mechanism to a valve, the conventional valve-operating hand-wheel is removed from the valve nut 11 and the driving member 14 is secured thereto, by means of the secondary nut 15. A skirt 43 appropriate for the valve is selected and cut to a suitable length and then is secured to the turning member 21 by means of the four hammer-drive pins 44. The turning 20 member and skirt 43 is dropped on to the driving member to engage the upper end of the driving member in the bearing ring 41. A linear but flexible cage 38 of balls 37 is fed into the aligned grooves 17 and 30, respectively in the driving member and the turning member, from within the window of the turning member. A sufficiently long cage is used, such that there will be an essentially 25 continuous row of spaced balls, all around the groove 17. The installation is completed by offering the key mechanism 32 to the window in the cylindrical

wall 31 of the turning member and then securing that key mechanism in position by means of security bolts 34. The locking member completes the groove 30 in the turning member whereby a continuous annular ball race is formed between the driving member and the turning member. The assembly is 5 completed by securing the hand-wheel in position, with further security bolts 24, one of which threads into the key mechanism 32.

Once installed, the lock mechanism can be removed only by partial destruction. For example, the bolts 34 must be cut out of the side plates 33 or those side plates themselves may be cut away, typically with an angle grinder. 10 Another possibility is to cut away much of the cover plate 40, so as to expose the secondary nut 15 and permit removal of the lock mechanism, as a whole.

The cover plate 40 has a central hole 53 through which the valve stem 13 may rise, as the valve is opened, in the case of a valve with a stem having a relatively long motion. In this case, a sleeve (not shown) may be fitted to the 15 underside of the cover plate, to restrict access to the secondary nut 15. Where the stem performs a relatively small excursion above the secondary nut 15, an internal cap 54 may be fitted beneath the cover plate 40 and located by the bearing ring 41, as shown in Figure 3.

## CLAIMS

1. A lock mechanism for a valve having a valve body and a rotatable valve operating member projecting from the valve body, which mechanism comprises:
  - 5 – a driving member adapted for attachment to the operating member for rotation therewith and formed with an arcuate outwardly-directed groove of part-circular cross-section, centred on the axis of the driving member;
  - 10 – a turning member mounted coaxially on the driving member and formed with an arcuate inwardly-directed groove of part-circular cross-section which groove is axially aligned with and opposed to the groove of the driving member;
  - 15 – a plurality of balls each located partly in the two opposed grooves thereby to permit relative rotation between the driving member and the turning member while preventing relative axial movement; and
  - 20 – a key mechanism secured to the turning member and having a detent selectively engageable by use of a key with the driving member to prevent relative rotation between the driving member and the turning member, the lock mechanism including a portion in axial alignment with the opposed grooves which portion serves to retain the balls in the opposed grooves.
- 20 2. A lock mechanism as claimed in claim 1, wherein the groove in the driving member is continuous and is encircled by the turning member.
3. A lock mechanism as claimed in claim 2, wherein said portion of the key mechanism blanks off the groove of the turning member, so as to retain the plurality of balls within the groove in the turning member.
- 25 4. A lock mechanism as claimed in claim 2, wherein said portion of the key mechanism defines an arcuate channel in alignment with the arcuate groove in

the turning member, whereby balls are located in the aligned channel and groove in the turning member as well as in the opposed groove in the driving member.

5. A lock mechanism as claimed in any of the preceding claims, wherein  
5 there is a journal formed between the driving member and the turning member  
at an axial position spaced from the opposed grooves.
6. A lock mechanism as claimed in claim 5, wherein said journal is formed  
by a low-friction ring interposed between the driving member and the turning  
member and secured to one of the members.
- 10 7. A lock mechanism as claimed in claim 6, wherein the ring is secured to  
the end of the turning member furthest (in use) from the valve, which ring has a  
bore which is a running fit on the driving member.
8. A lock mechanism as claimed in any of the preceding claims, wherein  
the turning member is of generally cylindrical form and is provided with a  
15 window in the cylindrical side wall thereof, the key mechanism being received in  
said window, between side plates secured to the turning member.
9. A lock mechanism as claimed in claim 8, wherein security bolts are used  
to attach the key mechanism to the side plates of the turning member.
10. A lock mechanism as claimed in claim 9, wherein shear-headed bolts are  
20 used to attach the key mechanism to the side plates of the turning member.
11. A lock mechanism as claimed in any of the preceding claims, wherein  
the turning member is provided with a skirt which is adapted, in use, partially to  
encircle the top-works of a valve to which the lock mechanism is attached.
12. A lock mechanism as claimed in any of the preceding claims, wherein  
25 the key mechanism includes a cam rotatable by insertion into or removal from  
the key mechanism of a suitable key, the cam being engageable in a recess in

the driving member to permit drive to be imparted thereto from the turning member.

13. A lock mechanism as claimed in claim 12, wherein the cam is engaged in a recess in the driving member when the key is fully inserted into the key mechanism.

5 14. A lock mechanism as claimed in claim 12 or claim 13, wherein a pawl is arranged to engage the cam and prevent the rotation thereof, other than when the key is fully inserted into the key mechanism.

10 15. A lock mechanism as claimed in any of claims 12 to 14, wherein the driving member has a cylindrical wall and a plurality of recesses are formed in that cylindrical wall, the cam being receivable in any one of those recesses to permit drive to be imparted from the turning member to the driving member.

15 16. A lock mechanism as claimed in any of the preceding claims, wherein the turning member is provided with a hand-wheel by means of which the turning member may be rotated to operate a valve to which the mechanism is attached, once the key mechanism has been unlocked.

17. A lock mechanism as claimed in claim 1 and substantially as hereinbefore described, with reference to and as illustrated in the accompanying drawings.

20 18. A valve having a valve body and a rotatable valve operating member projecting from the valve body in combination with a lock mechanism as claimed in any of the preceding claims, wherein the driving member of the lock mechanism is directly secured to the valve operating member.



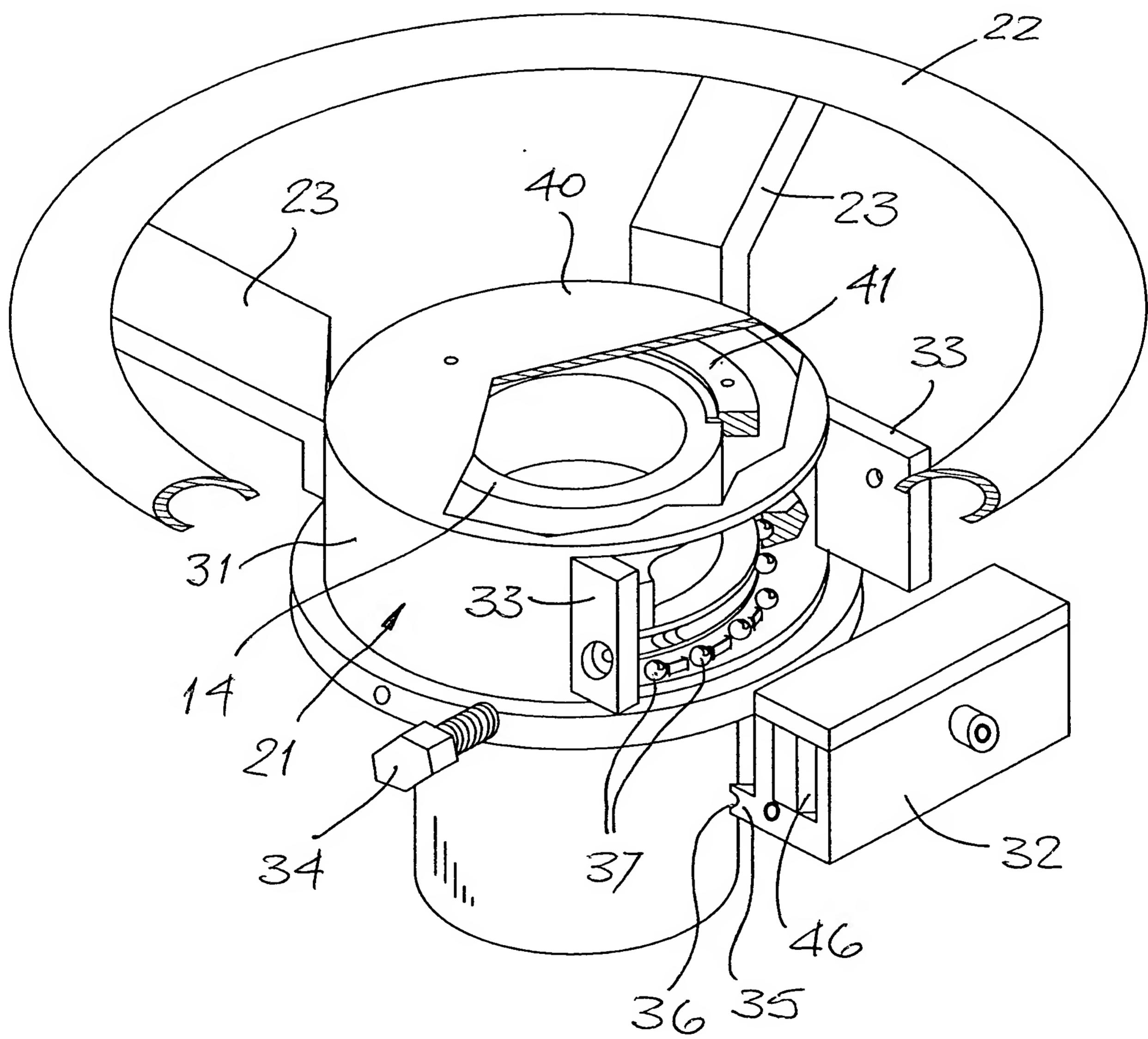


Fig 2



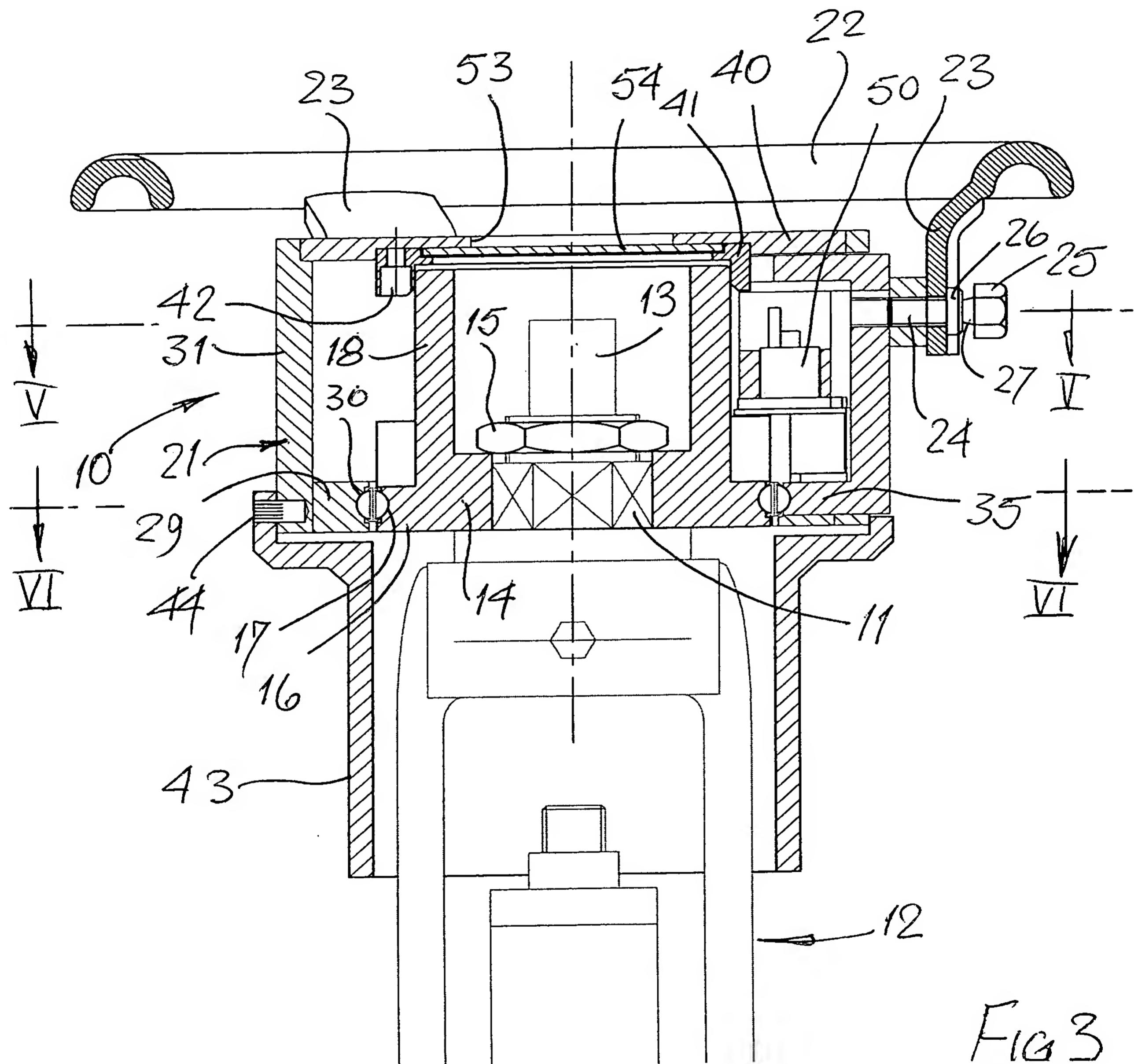


FIG 3



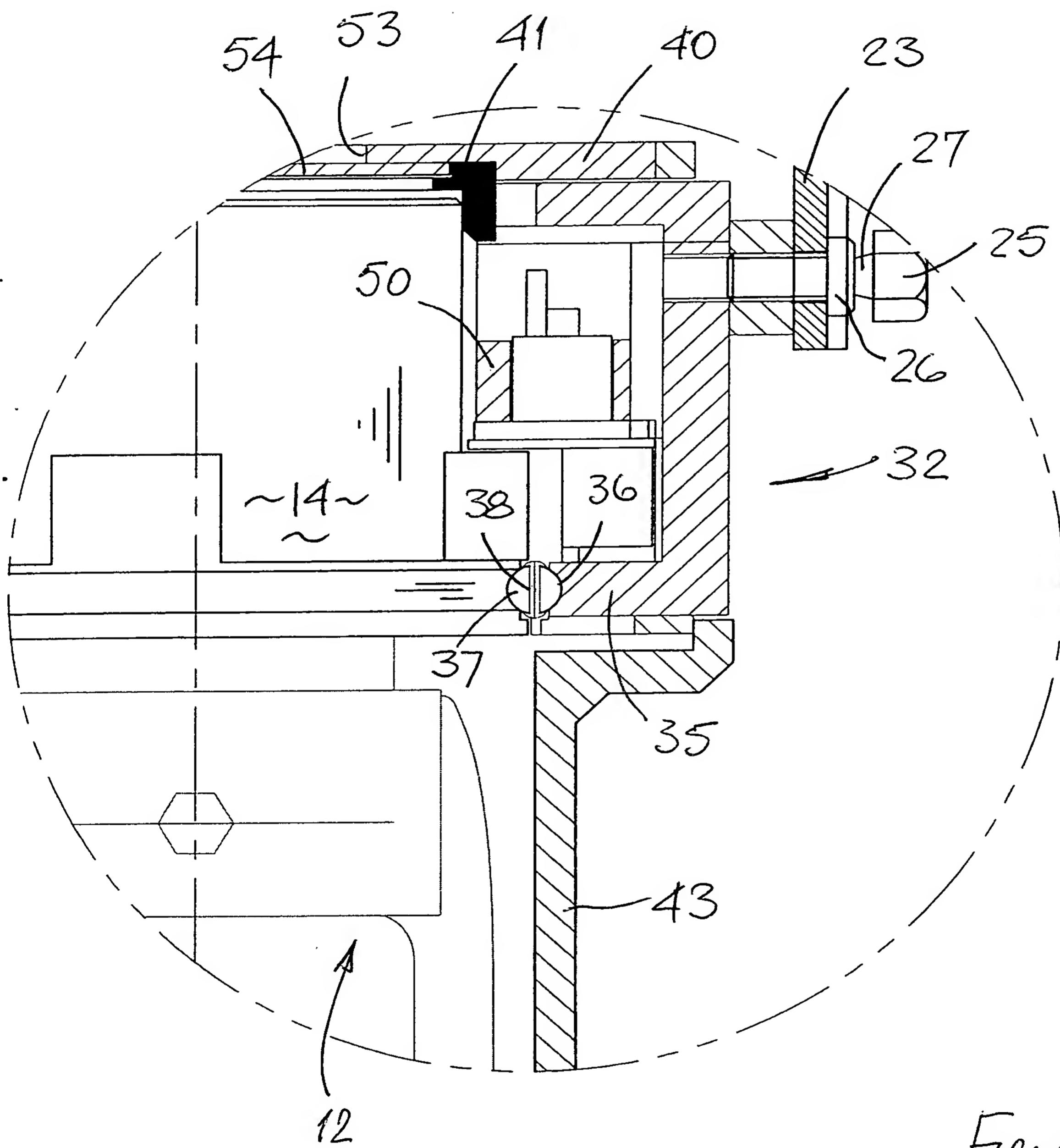


Fig 4



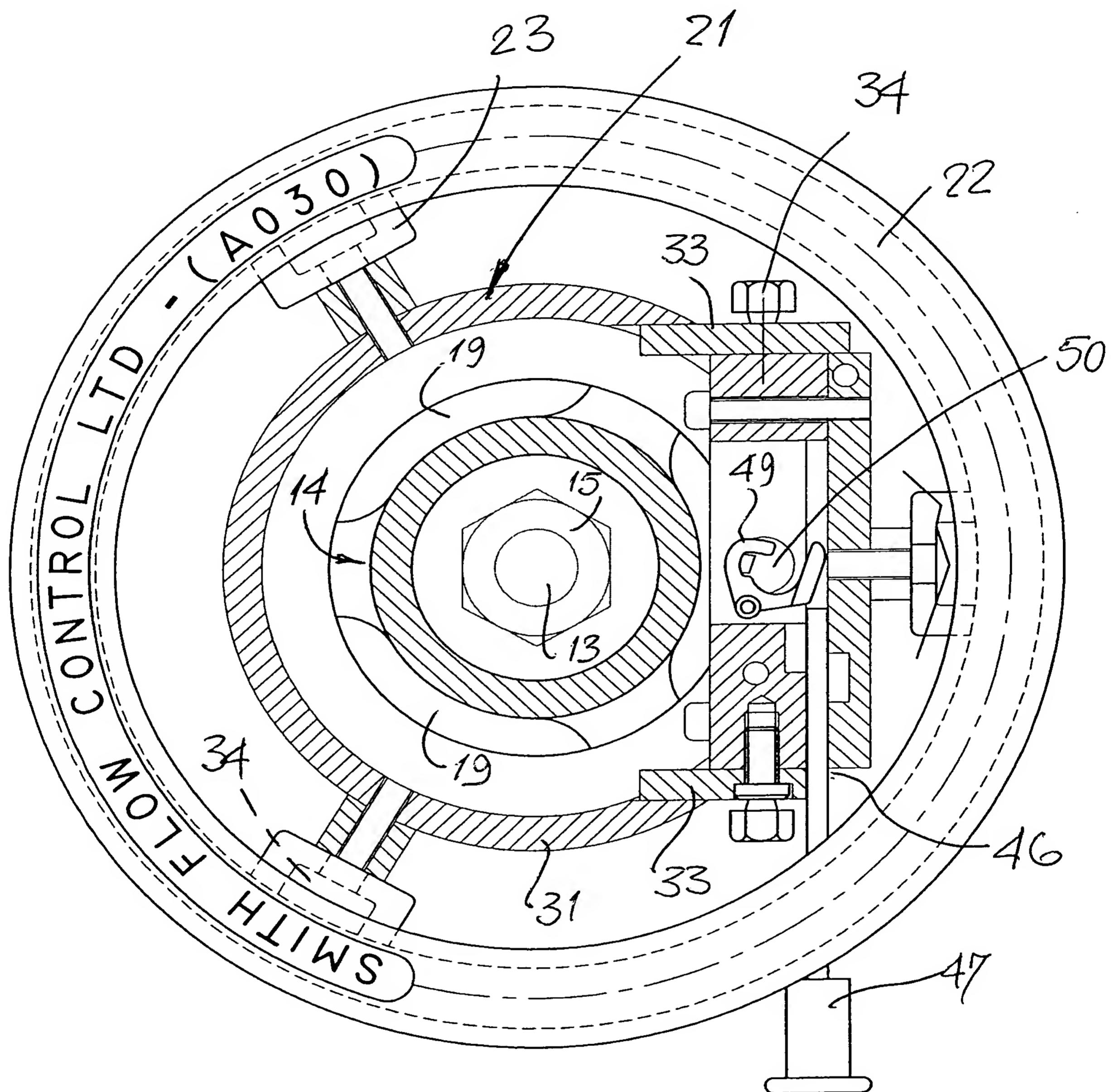


Fig 5



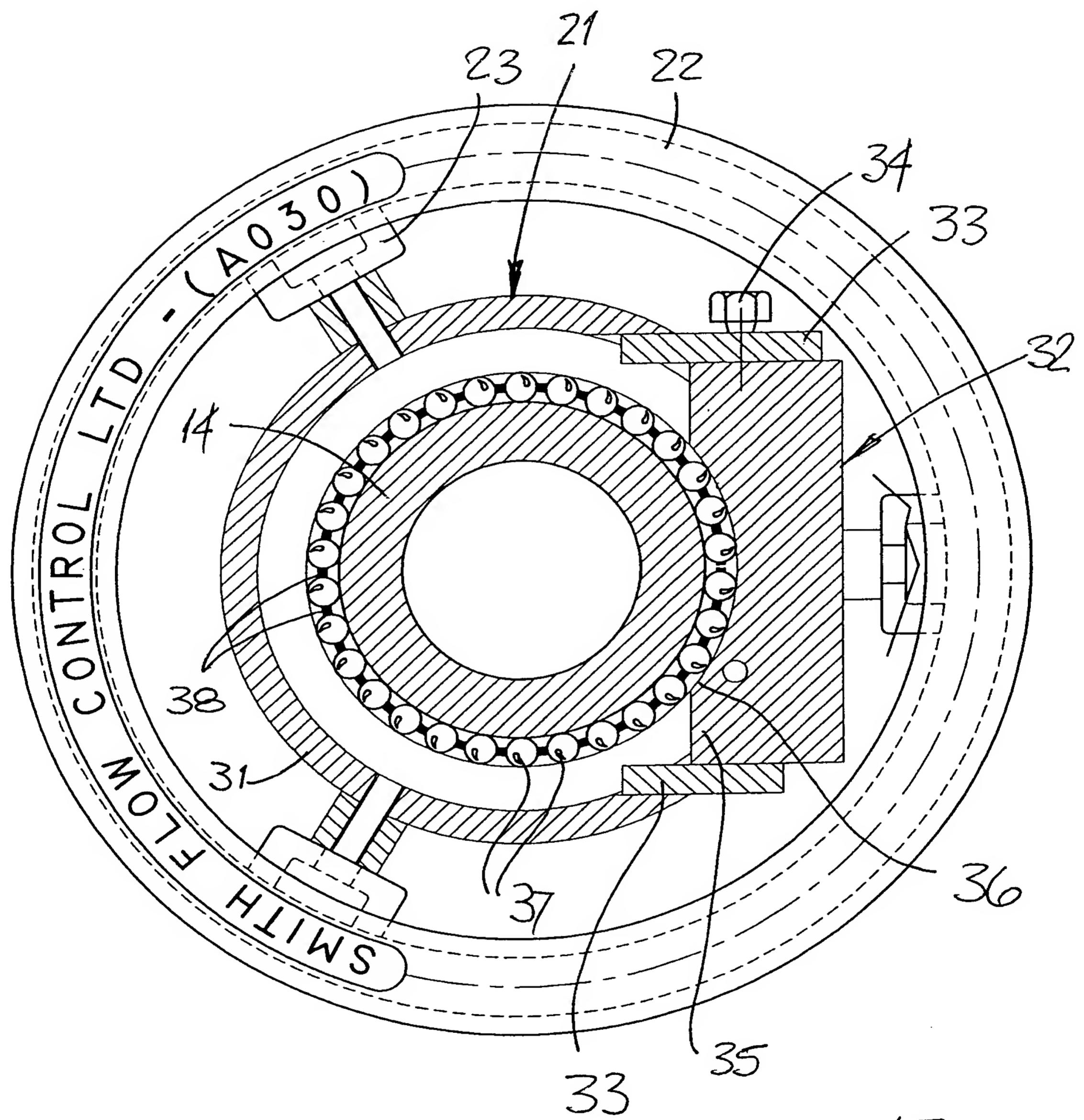


Fig 6

